

APPENDIX A

RETIREMENT OF RECORDS WASHINGTON NATIONAL RECORDS CENTER

A-1. All offices will prepare the SF 135 (Records Transmittal and Receipt) and continuation sheets to retire records into the Washington National Records Center (WNRC) in accordance with Chapter 9, AR 25-400-2. (See Figure A-1). The SF 135 and continuation sheets are available in electronic format. Plain bond paper may be used for continuation sheets. The following supplements those instructions:

a. The SF 135 and continuation sheets will include the box number, a brief description of the records, i.e., file name or contract number, and any other information that would be beneficial to assist in the identification and retrieval of records at a later date. The records contained on each SF 135 and in each box must all have the same disposition date.

b. Four (4) copies of the SF 135 and continuation sheets will be sent to the Records Management Coordinator (RMC) for review.

c. The SF 135 and continuation sheets will be sent to the Records Manager.

A-2. The Records Manager will:

a. Review the SF 135 and continuation sheets and review the boxes.

b. Assign an accession number.

c. Mark each box with the number in relation to the total shipment (1 of 5, 2 of 5, 3 of 5, etc.) with black felt-tip marker in the upper right-hand corner. Lettering should be approximately 1" to 2" in height. (See Figure A-2)

d. Make arrangements to have the records picked up by the WNRC.

e. Provide one copy of the signed SF 135 and continuation sheets to the appropriate office area.

A-3. The following instructions will be used when packing boxes for the WNRC:

a. Standard Record Storage Containers (14 3/4" x 12" x 9 1/2") will be used to send both letter and legal-sized records to the WNRC. The boxes are available from the local Defense Supply Service of Washington (DSSW) office.

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RECORDS TRANSMITTAL AND RECEIPT						Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.			PAGE 1	OF 2 PAGES
1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150) Federal Records Center Washington National Records Center 4205 Suitland Road Suitland, MD 20746-8001						5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address) HQ US Army Corps of Engineers ATTN: CEIM-IR 20 Massachusetts Avenue, NW Washington, DC 20314-1000				
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title) Linda K. Worthington USACE Records Administrator			DATE 0/0/00					
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Doris Porter HQ Records Coordinator								
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)			DATE					

Fold Line

6. RECORDS DATA												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO DISP. (m)
			4	1-4	HEADQUARTERS, DEPARTMENT OF THE ARMY These files do not contain, as prescribed by AR 380-13, information on persons or organizations not affiliated with the Department of Defense. Policy Review Division, Civil Works Projects, Linda Ellerbe	N	AR 1110-2-50A Series					
				1-4	Pearl River Basin, FL - 1987 Pearlinton LA, MS - 1986 Pelucia Creek Levees - 1991 Penobscot River, ME - 1990 Perry Creek, Sioux City, LA - 1992	N	1110-2-50A	PERM				
				2-4	Phoenix Metro, Oldcross Canal - 1990 Pine Island Bayou, TX - 1985 Platte River Steambank - 1990 Port Everglade Harbor, FL - 1990							

135-107
Standard Form 135 (Rev. 7-85)
Prescribed by NARA
36 CFR 1228.152
USAPPC V1.10

Figure A-1. Sample SF 135
A-2

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

- Col.* **Accession Number.** A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:
- (a) The NARA record group number assigned to the records of the agency making the transfer;
 - (b) The last two digits of the current fiscal year; and
 - (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
 - (d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.
 - (e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
 - (f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
 - (g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use-witnessed disposal not required (specify in column (f))
W	Restricted use-witnessed disposal required (specify in column (f))
N	No restrictions

- (h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

- (j) **Location.** The records center annotates the shelf location of the first carton for each series of records.
- (k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 7-85)

Figure A-1. Sample SF 135
A-3

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RECORDS TRANSMITTAL AND RECEIPT (Continuation)				This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.		TRANSFERRING AGENCY'S NAME CEIM-IR		DATE 0/0/00		PAGE 2 OF 2 PAGES		
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)							LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO DISP. (m)
			4	3-4 4-4	Miami Harbor Channel - 1989 Rio Puerto Nuevo - 1992 Upper MS River System Env - 1992 Upper MS River - Navigation Study - 1991	N	1110-2-50a	PERM				

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135-204

Standard Form 135-A (Rev. 7-85)
Prescribed by NARA
35 CFR 1.228, 1.52
USAPPC V1.10

Figure A-1. Sample SF 135
A-4

b. All material must be in folders, binders, or envelopes, as appropriate. The “hanging” folder may not be used for records being sent to the WNRC. Records may not be packed loose or wrapped with rubber bands.

c. Letter size folders must face the front of the box (the side without staples), and legal size folders must face the left side of the box. All folders must be in the same order as listed on the SF 135.

d. Do not overpack the boxes or write any additional information on the boxes.

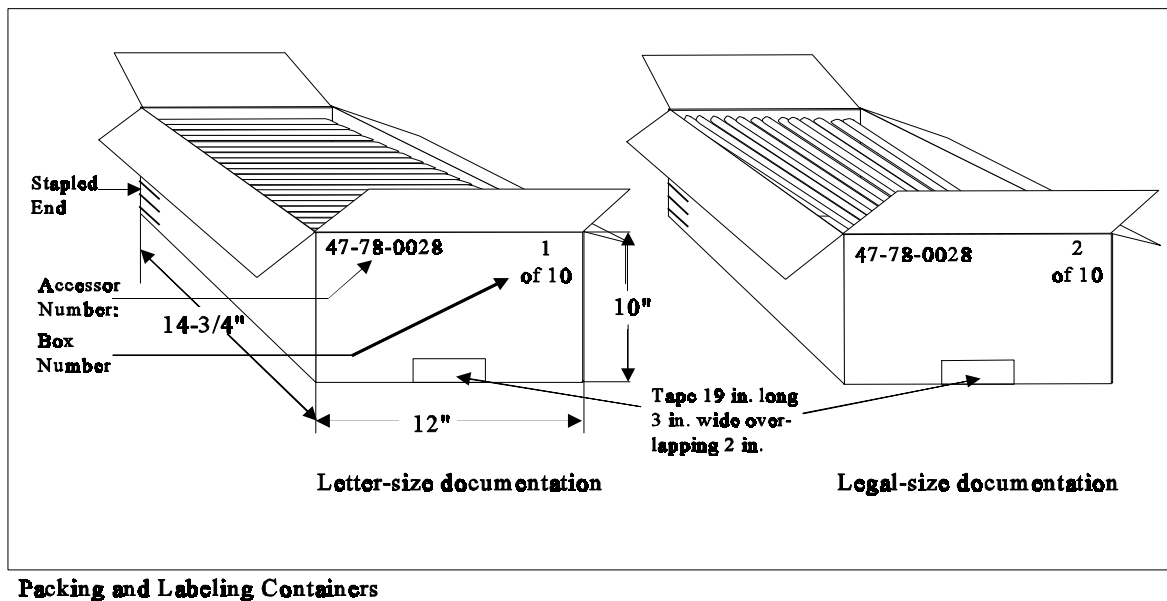


Figure A-2

A-4. The following instructions will be followed when sending records to the WNRC.

a. Do not mix permanent and temporary records in the same accession. Do not mix two or more series of permanent records in the same accession. An accession is defined as a “block of records having the same disposition authority (the MARKS No.) and the same disposal date.

b. Each accession must be listed on a separate SF 135 and transferred separately.

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- c. Each SF 135 must have a complete box listing of all folders, binders and envelope titles. Files may be listed alphabetically, numerically or by date. File name should always be listed.
- d. Offices should keep a copy of the SF 135 and continuation sheets for future records retrieval purposes.